

## THIRD PARTY ADMINISTRATOR (TPA) CHECKLIST

### I. Contact Information

Telephone	(573) 751-0794
Email	<a href="mailto:TPAFilings@insurance.mo.gov">TPAFilings@insurance.mo.gov</a>
Website	<a href="http://www.insurance.mo.gov">www.insurance.mo.gov</a>
TPA Forms	<a href="https://insurance.mo.gov/insurance-forms#resource-type-tid-201">https://insurance.mo.gov/insurance-forms#resource-type-tid-201</a>
TPA Web Portal	<a href="https://apps.dci.mo.gov/TPA/Pages/Account/Login.aspx">https://apps.dci.mo.gov/TPA/Pages/Account/Login.aspx</a>

### II. Legal Citations

Statutes	<a href="#">Sections 376.1075 – 376.1095, RSMo</a>
Regulations	<a href="#">20 CSR 200-9</a>

### III. Fees and Due Dates

Application Fee	\$1,000 due with initial application (§376.1092.2(7), RSMo)
Annual Report Fee	\$250 due March 1 <sup>st</sup> of each calendar year (§376.1093.5, RSMo)
Annual Renewal Fee	\$250 due July 1 <sup>st</sup> of each calendar year (§376.1092.5, RSMo)

### IV. Initial Application Process

- A. Applicants seeking licensure in Missouri must first register to do business with the Missouri Secretary of State at [www.sos.mo.gov/business](http://www.sos.mo.gov/business).
- B. Complete the Application, found [here](#).
- C. Contact the Admissions Section at [companylicforms@insurance.mo.gov](mailto:companylicforms@insurance.mo.gov) to set up a secure Box Account in which to upload the Application and Exhibits.
- D. Payment may be made electronically by contacting [companylicforms@insurance.mo.gov](mailto:companylicforms@insurance.mo.gov) to request an invoice and electronic payment instructions. Otherwise, the \$1,000 application fee should be remitted by check (personal checks cannot be accepted). Mailed payment should be accompanied by a copy of the one-page Application to ensure staff attribute the payment to the correct Application. Send checks to the following address:

Missouri Department of Commerce and Insurance  
PO Box 690  
Jefferson City, MO 65102-0690

- E. Administrators must demonstrate a positive standalone net worth as part of their initial application and must maintain solvency through their period of licensure. (§376.1092.2(4), RSMo)

F. The applicant must upload all of the following required documents to the secure Box Account along with the completed Application. Failure to include all required documents or to complete all required documents will postpone disposition of the Application:

1. All basic organizational documents of the administrator, including, but not limited to, any articles of incorporation, articles of association, partnership agreement, trade name certificate, trust agreement, shareholder agreement, and other applicable documents and all amendments to such documents. (§376.1092.2(1), RSMo)
2. A Certificate of Authority or Certificate of Good Standing dated within 90 days of the application date from the Missouri Secretary of State. Any fictitious or d/b/a name(s) used by the applicant must also be registered with the Missouri Secretary of State. (§376.1092.2(8), RSMo)
3. The bylaws, rules, and regulations of the administrator. (§376.1092.2(2), RSMo)
4. [Biographical affidavits](#), dated within 12 months of the application date, for all individuals who are responsible for the conduct of the affairs of the administrator, including all members of the board of directors, board of trustees, executive committee or other governing board or committee; the principal officers in the case of a corporation or the partners or members in the case of a partnership or association; shareholders holding directly or indirectly 10% or more of the voting securities of the administrator; and any other person who exercises control or influence over the affairs of the administration. (§376.1092.2(3), RSMo)
5. Annual audited financial statements or reports for the two most recent years. An applicant in existence for fewer than two years may satisfy this requirement by providing officer-certified financial statements. Additional requirements apply to consolidated audits. (§376.1092.2(4), RSMo and 20 CSR 200-9.600(2))
6. Plan of operations of the administrator including information on staffing levels and activities in this state and nationwide. (§376.1092.2(5), RSMo)
7. If the applicant will be managing the solicitation of new or renewal business, proof that it employs or has contracted with an agent licensed by this state for solicitation and taking of applications. Any applicant which intends to directly solicit insurance contracts or to otherwise act as an insurance agent must provide proof that it has a license as an insurance agent or agency in this state. Applicants that will not be managing the solicitation of new or renewal business shall include an affirmative statement to that effect with the Application. (§376.1092.2(6), RSMo)
8. Each administrator shall file a \$50,000 surety bond obtained from an insurance company licensed to do business in Missouri. This requirement is waived if the TPA is an affiliate or subsidiary of an insurance company licensed and in good standing with this office. Surety bond form: [Form 375-1811](#) (§376.1092.7, RSMo)
9. Notification of Insurer/Trust Agreements form: [Form 375-1684](#) (§376.1092.2(8), RSMo and 20 CSR 200-9.600(1))
10. TPA Questionnaire form: [Form 375-0083](#) (§376.1092.2(8), RSMo and 20 CSR 200-9.600(1))
11. TPA 376.1092 form: [Form 375-0951](#) (§376.1092.2(8), RSMo and 20 CSR 200-9.600(1))

## V. Annual Report Filing Process

- A. Annual report filings are due March 1<sup>st</sup> of each calendar year and must be filed by each TPA licensed in Missouri through the TPA Web Portal. (§376.1093, RSMo)

TPA Web Portal: <https://apps.dci.mo.gov/TPA/Pages/Account/Login.aspx>

TPA Web Portal User Guide: [https://insurance.mo.gov/sites/insurance/files/2024-09/TPA\\_Portal\\_User\\_Guide.pdf](https://insurance.mo.gov/sites/insurance/files/2024-09/TPA_Portal_User_Guide.pdf)

- B. All TPAs will be invoiced the \$250 annual report filing fee in early January that is due at the time of filing the annual report. Those invoices will include instructions for paying the invoice online. Payment of this invoice does NOT renew the TPA license. (§376.1093.5, RSMo)
- C. The annual report includes the following documents, which must be uploaded to the TPA Web Portal:
1. Notification of Insurer/Trust Agreements form: [Form 375-1684](#) (§376.1093.2, RSMo and 20 CSR 200-9.800)
  2. TPA Questionnaire form: [Form 375-0083](#) (§376.1093.3, RSMo and 20 CSR 200-9.800)
  3. TPA 376.1092 form: [Form 375-0951](#) (§§376.1092.5 and 376.1093.1, RSMo and 20 CSR 200-9.800)
  4. A Certificate of Good Standing dated within 90 days of March 1<sup>st</sup> from the Missouri Secretary of State, as well as proof of the active registration of any fictitious (d/b/a) name: [www.sos.mo.gov/business](http://www.sos.mo.gov/business) (§376.1093.1, RSMo)
  5. Annual audited financial statement or report for the previous calendar year (§376.1093.1, RSMo and 20 CSR 200-9.800). This audited financial statement may be prepared on a consolidated basis, including a Form 10-K. If the audited financial statement will not be ready by March 1<sup>st</sup>, provide unaudited financials and request an extension from [TPAFilings@insurance.mo.gov](mailto:TPAFilings@insurance.mo.gov) including the estimated date of completion of the audit.

## VI. Annual Renewal Process

- A. Annual renewal of the certificate of authority occurs July 1<sup>st</sup> of each calendar year. (§376.1092.5, RSMo)
- B. All TPAs will be invoiced the \$250 annual renewal fee in early May, except those that were first licensed earlier in the current calendar year. Those invoices will include instructions for paying the invoice online.
- C. Renewal certificates of authority will not be issued except upon request, and will not be issued until the annual report, annual report fee, and renewal fee have all been submitted.